

EXHIBIT B

Account Information for IAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

ACCOUNT INFORMATION FOR IAT HONG

MASTER ACCOUNTS			
1764640	Sun Hung Kai Investment Services Limited	Hong Kong Special Administrative Region of China	IBroker (Non-disclosed Introducing Broker)

CUSTOMER SUMMARY FOR IAT HONG

Title:	IAT HONG
Applicant ID:	2096369
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE, TANQUES JARDINS, DE LISBOA EDF VISTA, LINDA 12 ANDAR C, TAIPA, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	hongih820
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFI - Risk Ranking 2	
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	

ACCOUNT SUMMARY FOR 6749

6749

ID:	6749 (alias: 6749 hongih820-cash) (VAN: 6749)	Equity yesterday:	188,399 USD
Type:	Active Trader	Started:	15 Apr 2014
Activated Capabilities:	STK	Approved:	16 Apr 2014
Status:	Open. Clearing Status	Opened:	16 Apr 2014
Phylum:	C - Customer	Funded:	24 Apr 2014
Priority:	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

PRIOR NOTES

Hide all

1. Note	hide
Non-disclosed account automatically created	
Operator: ACES	Date: 16 Apr 2014

CUSTOMER CONFIGS

Account Config
Nothing Set
Edit Account Config

Internal Account Settings

Account Information for IAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

Account Settings
Nothing Set
Edit Account Settings

ACCOUNT APPROVAL DECISION

CLICK to see Account Reopen History

Decision: Accepted (Initial)

Proclamations:

I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the type, purpose and anticipated activity of the account; the nature and duration of IB's relationship with the applicant; publicly available information regarding the anti-money laundering and supervisory regime of the jurisdiction in which the applicant is located, formed and regulated and the jurisdiction where persons with a large ownership interest in the account are located; and the known disciplinary history of the applicant, this applicant is given a Risk Rating of:

2

Deciding User: ACES

Deciding Time: 16 Apr 2014 16:03:24 EDT

Additional Remarks: Non-disclosed account automatically created in

ACCOUNT UPGRADE DECISIONS

No Upgrade Decisions yet

ADDITIONAL APPLICANT/REGISTRATION INFORMATION**APPLICANT INFO**

Applicant ID: 2096369

Country of Legal residence: Macao Special Administrative Region of China

Applicant Citizenship: Macao Special Administrative Region of China

Market Data Status: Professional

Primary Phone: 85362818329

Secondary Telephone: 85362835982

Mailing Address: ESTRADA DE SETE, TANQUES JARDINS
DE LISBOA EDF VISTA, LINDA 12 ANDAR C, TAIPA
Macao Special Administrative Region of China

Marketing/Sales Info:

Whitebranding ID: ustrader2

Change Applicant Information

IPO CERTIFICATION INFORMATION

No response

EXCESS SWEEP

None

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	N/A	N/A	0

2 of 6

3/18/2015 11:43 AM

SEC-IB-E-0000086

Account Information for IAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

Options	N/A	N/A	0
Commodities	N/A	N/A	0
Bond	N/A	N/A	0
FX	N/A	N/A	0
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	N/A	Estimated Liquid Net Worth	N/A
Net Income	N/A	Sources of Funds (Other than regular income)	Sources Of Income
Total Assets	N/A	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No

INVESTMENT OBJECTIVES

N/A

Edit Objective

TAX BASIS CONFIGURATION

TAX BASIS	LAST EDIT	EDITED BY
FIFO (First In First Out)		

WS INFO

BASIC INFORMATION		ADDITIONAL INFORMATION	
Tax Payer ID: Form: View W-28en Submitted: 15 Apr 2014 04:13:42 EDT For Interest: No For Dividend: No For Broker: No Expiration Date: None		ATTRIBUTE NAME	ATTRIBUTE VALUE (NATIVE)
		owner_type	Individual
		account_title	Mr. IAT HONG
		citizenship	Macao Special Administrative Region of China
		country	Macao Special Administrative Region of China
		address	ESTRADA DE SETE TANQUES JARDINS
		part_2_9a	part_2_9a
		part_2_9a_country	Macao Special Administrative Region of China
		city_state	DE LISBOA EDF VISTA, LINDA 12 ANDAR C TAIPA

View WS Logs

US TAX INFO

Account Information for IAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

No Tax Info or W9 form available or applicable.

IRS TAX VERIFICATION STATUS

No TIN Verification done with IRS.

NON-DISCLOSED INFORMATION

Direct Trading: Yes

Reporting only QI: no

COMMISSION SCHEDULE

EXCHANGE	CURRENCY / UNIT	TYPE	MINIMUM	MAXIMUM	MAX UNIT	MAX MARKUP AMOUNT	VALUE	PASS THROUGH FEES	MIN AS TICKET CHARGE
STK									
USD stocks	USD Stocks	Absolute Amount	15.0			0.075	0.03 <= 2000 0.025 <= 5000 0.02 OTHERWISE	no	no

Show History

INTEREST MARKUPS

CURRENCY	UNIT	DEBIT MARKUP	CREDIT MARKUP SHORT CREDIT MARKUP	SHORT CFD CREDIT SHORT INDEX CFD CREDIT	LONG INDEX CFD DEBIT
AUD	%	-	- / -	- / -	- / -
CAD	%	-	- / -	- / -	- / -
CHF	%	-	- / -	- / -	- / -
EUR	%	-	- / -	- / -	- / -
GBP	%	-	- / -	- / -	- / -
HKD	%	-	- / -	- / -	- / -
JPY	%	-	- / -	- / -	- / -
USD	%	-	- / -	- / -	- / -

INVESTOR CATEGORYNo Investor Category
History**APPLICANT ASSOCIATED ENTITIES**

Show all

MR. IAT HONG (ACCOUNT HOLDER)**Mr. IAT HONG**

Individual (21733926)

Pamarschin

Personal InfoCitizenship: Macao Special Administrative
Region of China
DOB: [REDACTED] 1980**Employer Info**Employment Status: SELFEMPLOYED
Occupation: EMPLOYER
Employer: POK IAT NEW TECHNOLOGY

Account Information for LAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

Ownership percentage: 100.0
Detailed Ownership Information

Contact Info
Home Phone: 85362818329
Work Phone: 85362835982
Home (PRIMARY): (853) +85362818329
details

Work (ADDITIONAL): (853) +85362835982
details

Legal IDs
National ID: [REDACTED] (Macao Special
Administrative Region of China)

Addresses
Residential Address: ESTRADA DE SETE,
TANQUES JARDINS
DE LISBOA EDF VISTA, LINDA 12 ANDAR
C, TAIPA
Macao Special Administrative Region of
China
Mailing Address: Same as residential address

INVESTMENT CO LTD
Employer Business: Other
Employer Address: ESTRADA DE SETE
TANQUES, JARDINS DE LISBOA EDF VISTA
LINDA 12 ANDAR C, TAIPA, MACAU
Macao Special Administrative Region of
China

Change Info Request Proof of ID and DOB Request Proof of Address Request Proof of SSN Mark as PEP Ownership History

Sessions: User: hongih820 ([REDACTED]6749) Active in TWS: Yes Token Type: N/A

ACCOUNT ASSOCIATED ENTITIES [REDACTED] 6749

Show all

No Associated Entity

COMPLIANCE/REGULATORY INFORMATION

Add Broker-Dealer Affiliation

QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	N/A	N/A
Is the account holder a member of a regulatory or a self-regulatory organization?	N/A	N/A
Is the account holder: i) a director; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	N/A	N/A
Is exactly a registered financial advisor?	N/A	N/A
Accepted Futures Arbitration Agreement?	No Decision	No Decision

Edit Compliance Information Change Arbitration Agreement

U.S. SEC LARGE TRADER ID INFORMATION

Show information on U.S. SEC Large Trader ID Information

EXCHANGE MEMBERSHIP AND COMMISSION INFO

COMMISSION TYPE STATUS DATE REQUESTED DATE EFFECTIVE

Account Information for IAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

Securities	Bundled		
Commodities	Bundled		

EXCHANGE CODE	CLASS
Add an Exchange class	
REGULATORY CODE	CLASS
Add a Regulatory class	

EQUIFAX ID/ ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.

OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES







Name	Matches	
Search (# 87441461) for Mr. IAT HONG (Account Holder)		Complete - no match found hide
IAT HONG	No Matches found.	Processing time: 14 Mar 2015 08:08:55 EDT

WORLDCheck TASKS

Name	Matches	
WorldCheck Search (# 87441462) for Mr. IAT HONG (Account Holder)		Complete - no match found hide
IAT HONG	No Matches found.	Processing time: 15 Apr 2014 04:16:41 EDT

DOCUMENT SUBMISSION TASKS

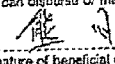
Reject Multiple

DOCUMENT SUBMISSION TASK	DOCUMENT RECEIVED	STATUS	ACTIONS
W-8Ben for IAT HONG	IBLLC-US-2115719.pdf via E-mail 15 Apr 2014 04:29:53 EDT	Tentatively Accepted (ewong) on 15 Apr 2014 00:31:56 EDT	  Under Review
Proof of identity and date of birth for Mr. IAT HONG (Account Holder)	National ID IBLLC-US-2115719.pdf via E-mail 15 Apr 2014 04:29:53 EDT	Tentatively Accepted (ewong) on 15 Apr 2014 00:31:56 EDT	  Under Review
Proof of address for Mr. IAT HONG (Account Holder)	Government Issued Letters IBLLC-US-2115719.pdf via E-mail 15 Apr 2014 04:29:53 EDT	Tentatively Accepted (ewong) on 15 Apr 2014 00:31:56 EDT	  Under Review

COMPLIANCE REVIEWS

No compliance reviews required for this Account.

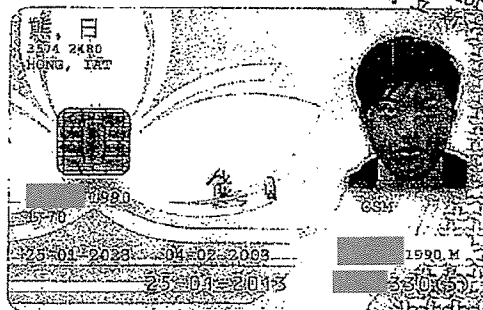
6749

Form W-8BEN (Rev. February 2006) Department of the Treasury Internal Revenue Service	Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding ▶ Section references are to the Internal Revenue Code. ▶ See separate instructions. ▶ Give this form to the withholding agent or payer. Do not send to the IRS.	OMB No. 1545-1621
Do not use this form for: • A U.S. citizen or other U.S. person, including a resident alien individual. • A person claiming that income is effectively connected with the conduct of a trade or business in the United States. • A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions). • A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that received effectively connected income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (see instructions). Note: These entities should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to claim they are a foreign person exempt from backup withholding. • A person acting as an intermediary. Note: See instructions for additional exceptions.		
Instead, use Form: W-9 W-BECl W-8ECI or W-8IMY W-8ECI or W-8EXP W-8IMY		
Part I Identification of Beneficial Owner (See instructions.)		
1 Name of individual or organization that is the beneficial owner <u>HONG IAT</u>		2 Country of incorporation or organization
3 Type of beneficial owner: <input checked="" type="checkbox"/> Individual <input type="checkbox"/> Corporation <input type="checkbox"/> Disregarded entity <input type="checkbox"/> Partnership <input type="checkbox"/> Simple trust <input type="checkbox"/> Grantor trust <input type="checkbox"/> Complex trust <input type="checkbox"/> Estate <input type="checkbox"/> Government <input type="checkbox"/> International organization <input type="checkbox"/> Central bank of issue <input type="checkbox"/> Tax-exempt organization <input type="checkbox"/> Private foundation		
4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. <u>ESTRADA DE SETE TANQUES JARDINS DE LISBOA DE VISTA LINDA 13 ANDAR C. TAPA MACAU</u> City or town, state or province. Include postal code where appropriate. <u>MACAU</u> Country (do not abbreviate) <u>MACAU</u>		
5 Mailing address (if different from above) City or town, state or province. Include postal code where appropriate. Country (do not abbreviate)		
6 U.S. taxpayer identification number, if required (see instructions) <input type="checkbox"/> SSN or ITIN <input type="checkbox"/> EIN		7 Foreign tax identifying number, if any (optional)
8 Reference number(s) (see instructions)		
Part II Claim of Tax Treaty Benefits (if applicable)		
9 I certify that (check all that apply): a <input checked="" type="checkbox"/> The beneficial owner is a resident of <u>MACAU</u> within the meaning of the income tax treaty between the United States and that country. b <input type="checkbox"/> If required, the U.S. taxpayer identification number is stated on line 6 (see instructions). c <input type="checkbox"/> The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions). d <input type="checkbox"/> The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions). e <input type="checkbox"/> The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(c) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.		
10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9a above to claim a _____ % rate of withholding on (specify type of income): _____ Explain the reasons the beneficial owner meets the terms of the treaty article: _____		
Part III Notional Principal Contracts		
11 <input type="checkbox"/> I have provided or will provide a statement that identifies those notional principal contracts from which the income is not effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.		
Part IV Certification Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that: 1 I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates. 2 The beneficial owner is not a U.S. person. 3 The income to which this form relates is (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, and 4 For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions. Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.		
Sign Here  Signature of beneficial owner (or individual authorized to sign for beneficial owner)		Date (MM-DD-YYYY) <u>04/01/2014</u> Capacity in which acting
For Paperwork Reduction Act Notice, see separate instructions. Cat. No. 25047Z Form W-8BEN (Rev. 2-2006)		

HONG IAT

6749

This copy is authorised for SHKF to open A/C only
此副本只供開立新鴻基交易賬戶之用



新鴻基投資服務有限公司-澳門分行	
Sun Hung Kai Investment Services Limited - Macau Branch	
I hereby certify that this is a true copy of the original document which I have seen and that I have met the Individual and can confirm that photograph is a true likeness.	
Name of Certifier	MAE HOI NING
Job Title	IC
Date	1 APR 2014
Signature	MAE

This copy is authorised for SHKF to open A/C only
此副本只供開立新鴻基交易賬戶之用





澳門特別行政區政府
Governo da Região Administrativa Especial de Macau
治安警察局
Corpo de Polícia de Segurança Pública

熊日

新鴻基投資服務有限公司-澳門分行 Sun Hung Kai Investment Services Limited - Macau Branch	
I hereby certify that this is a true copy of the original document which I have seen and that I have met the individual and can confirm that photograph is a true likeness.	
Name of Certifier	MAK HOI NING
Job Title	IC
Date	1 APR 2014
Signature	MAK

澳門氹仔七潭公路葡京花園美景台 1 2 樓 C
ESTRADA DE SETE TANQUES JARDINS DE
LISBOA EDIF VISTA LINDA 12 ANDAR C
TAIPA MACAU



L146 R R 0 2 3 4 1 5 9 4 2 M O

發函編號 X14069860

發函日期 10/03/2014

Nossa referência

Data de emissão

通知書 (行政處罰決定) 編號: X14069860

茲就本局交通廳發出之控訴書 (通知信編號: E14038186, 資料詳見"行政違法列表") 所展開之行政處罰程序, 台端於指定期限內並未自願繳付罰款、提交書面答辯或指出違法者身份。

現於 2014年3月7日, 由治安警察局交通廳廳長謝偉營務總長, 經16/CPSP/2013號批示授權, 並根據第3/2007號法律《道路交通法》第138條第3款規定, 對上述列表之行政違法行為作出處罰決定。

台端應自接獲本通知書(2014年3月13日)起計十五日內前往治安警察局交通廳繳付罰款, 或 a) 十五日內向治安警察局提出聲明異議; b) 三十日內向保安司提出任意訴願; c) 三十日內向行政法院提起司法上訴。提出聲明異議、任意訴願、司法上訴既不中止有關申訴期間, 亦不中止有關決定之效力。如不繳付罰款, 則按稅務執行的規定進行強制徵收, 並按《道路交通法》第140條執行倘有之程序。

如有任何疑問, 請親臨治安警察局交通廳查詢。地址: 士多紐拜斯大馬路。

特此

通知

交通廳交通監控警司處處長

張映順警司

注意: 如 台端在接收此通知書前已自願繳交有關罰款, 則無需理會此通知書。

6749

Form **W-8BEN** **Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding** OMB No. 1545-1621
 (Rev. February 2006)
 Department of the Treasury
 Internal Revenue Service

▶ Section references are to the Internal Revenue Code. ▶ See separate instructions.
 ▶ Give this form to the withholding agent or payer. Do not send to the IRS.

Do not use this form for:
 • A U.S. citizen or other U.S. person, including a resident alien individual
 • A person claiming that income is effectively connected with the conduct of a trade or business in the United States
 • A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions)
 • A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that received effectively connected income or that is claiming the applicability of section(s) 115(2), 501(c), 882, 895, or 1445(b) (see instructions)
 • A person acting as an intermediary

Notes: These entities should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to claim they are a foreign person exempt from backup withholding.
 Note: See instructions for additional exceptions.

Part I Identification of Beneficial Owner (See instructions.)

1 Name of individual or organization that is the beneficial owner
HONG IAT

2 Country of incorporation or organization
MACAU

3 Type of beneficial owner:
☐ Grantor trust ☒ Individual ☐ Corporation ☐ Disregarded entity ☐ Partnership ☐ Simple trust
☐ Central bank of issue ☐ Complex trust ☐ Estate ☐ Government ☐ International organization
☐ Tax-exempt organization ☐ Private foundation

4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.
ESTRADA DE SETE TANQUES JARDINS DE LISBOA DE VISTA LINDA 12 ANDAR C. TIPIA MACAU
 City or town, state or province. Include postal code where appropriate. MACAU Country (do not abbreviate) MACAU

5 Mailing address (if different from above)
 City or town, state or province. Include postal code where appropriate. Country (do not abbreviate)

6 U.S. taxpayer identification number, if required (see instructions)
☐ SSN or ITIN ☐ EIN

7 Foreign tax identifying number, if any (optional)

8 Reference number(s) (see instructions)

Part II Claim of Tax Treaty Benefits (if applicable)

9 I certify that (check all that apply):
 a ☒ The beneficial owner is a resident of MACAU within the meaning of the income tax treaty between the United States and that country.
 b ☐ If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).
 c ☐ The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).
 d ☐ The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).
 e ☐ The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(f) or 707(f), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9a above to claim a _____ % rate of withholding on (specify type of income): _____
 Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Notional Principal Contracts

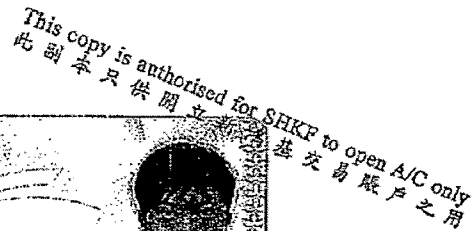
11 ☐ I have provided or will provide a statement that identifies those notional principal contracts from which the income is not effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.

Part IV Certification

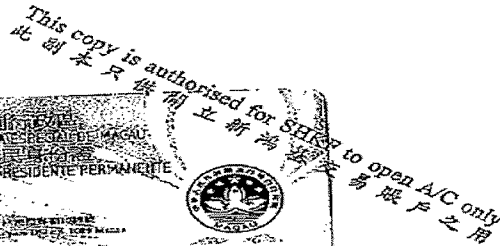
Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:
 1 I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates.
 2 The beneficial owner is not a U.S. person.
 3 The income to which this form relates is (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, and
 4 For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
 Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.

Sign Here HONG IAT Signature of beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY) 04/01/2014 Capacity in which acting

For Paperwork Reduction Act Notice, see separate instructions. Cal No. 25047Z Form W-8BEN (Rev. 2-2006)



新鴻基投資服務有限公司-澳門分行 Sun Hung Kai Investment Services Limited - Macau Branch	
I hereby certify that this is a true copy of the original document which I have seen and that I have met the individual and can confirm that photograph is a true likeness.	
Name of Certifier	MAE HOI NING
Job Title	IC
Date	1 APR 2014
Signature	<i>MAE HOI NING</i>



[logo:] [Seal of the Government of Macau]



Macau Special Administrative Region

Public Security Police Force of Macau

Hong Iat

新鴻基投資服務有限公司-澳門分行	
Sun Hung Kai Investment Services Limited - Macau Branch	
I hereby certify that this is a true copy of the original document which I have seen and that I have met the individual and can confirm that photograph is a true likeness.	
Name of Certifier	MAE HOI NING
Job Title	IC
Date	1 APR 2014
Signature	MAE

ESTRADA DE SETE TANQUES JARDINS DE
LISBOA EDF VISTA LINDA 12 ANDAR C
TAIPA MACAU



L146 R R 0 2 3 4 1 5 9 4 2 M O

Notice Number: X14069860 Issuing Date: March 10, 2014

Notice (administrative penalty decision) Number: X14069860

Regarding the administrative penalty procedures carried out according to the letter of complaint (notice number: E14038186) issued by the Traffic Department within our bureau, you have not willingly paid the penalty, submitted a written response, or pointed out the identity of the person who has broken the law within the specified timeframe.

On March 7, 2014, Xie Wei, head of the Traffic Department within the Public Security Police Force, was authorized by No. 16/CPSP/2013 approval and made the penalty decision toward the aforesaid illegal administrative behaviors according to Section Three under Article 138 of the *Road Traffic Law* (No.3/2007 law).

You should go to the Traffic Department within the Public Security Police Force to pay the penalty within 15 days after the day when you receive this notice (March 13, 2014), or a) submit a written objection to the Public Security Police Force within 15 days; or b) submit any appeal to the Secretariat for Security within 30 days; or c) file a judicial lawsuit with an administrative court within 30 days. Submitting a written objection, submitting any appeal, or filing a lawsuit will not suspend related appeal or effect of related decisions. If penalty is not

paid, then it will be compulsorily collected according to related tax rules, and related procedures will be carried out according to Article 140 of the *Road Traffic Law*.

If you have any questions, please visit the Traffic Department within the Public Security Police Force in person for inquiries. The address is: Avenida de Sidonio Pais.

The notice is hereby issued.

Division Chief of Police Division under Traffic Monitoring and Control Section under Transit
Department

[signed]

Chief Zhang Yingshun

Notice: If you have already willingly paid related penalty before receiving this notice, then please ignore this notice.

治安警察局 式六
CPSP - Modelo 6

澳門十一月一號廣場治安警察局總部大樓
CPSP, Edifício Confortoz, Praça 1 de Outubro, Macau

電話: (853)28573333
Tel: (853)28573333

圖文傳真: (853)28780826
Fax: (853)28780826

A-4 規格/件 2014/8/29
Formato A-4 Imp. Fev. 2014

SEC-IB-E-0000594

Registration Status

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=hongih820&ac...

REGISTRATION STATUS

MASTER ACCOUNTS	
1764640 Sun Hung Kai Investment Services Limited	Hong Kong Special Administrative Region of China IBroker (Non-disclosed Introducing Broker)
CUSTOMER SUMMARY FOR IAT HONG	
Title:	IAT HONG
Applicant ID:	2096369
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE, TANQUES JARDINS, DE LISBOA EDF VISTA, LINDA 12 ANDAR C, TAIPA, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	hongih820
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFI - Risk Ranking 2	
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
ACCOUNT SUMMARY FOR 6749	

ID:	6749 (alias: 6749- hongih820-cash) (VAN: 5749-)	Equity yesterday:	188,399 USD
Type:	Active Trader	Started:	15 Apr 2014
Activated Capabilities:	STK	Approved:	16 Apr 2014
Status:	Open. Clearing Status	Opened:	16 Apr 2014
Phylum	C - Customer	Funded:	24 Apr 2014
Priority	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

Registration Process

Dynamic Registration Tasks

Approval Requirements

Customer Tasks

Summary of Steps			
Online steps Completed	Paper PDF Forms Not required	Funding Instruction Not required	407 Letter Not required
ID Documents Received	Equifax Not required	OFAC Status Completed WordCheck Status Completed	Other compliance checks Not required

Application	
Application Type: FULL	Process Type: CUST_ENTRY - CUSTOMER
Current Sequence: APPLICATION	Multi Account Eligible: No
Status: APP STATUS	Multi Master Account:

Registration Status

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=longih820&ac...[View All Registration Steps](#)

Application Steps
APPLICATION
APP_STATUS
-

ONLINE STEPS REQUIRED TO OPEN OR UPGRADE ACCOUNT

Sort Steps By Name

Account	Registration Step	Status/ Date Completed	Type
All required online steps completed Hide all			
6749	Margin and Products	16 Apr 2014 22:10:24 EDT	to complete
6749	Market Data Selection	13 Feb 2015 10:58:35 EST	to complete
6749	W-8Ben	15 Apr 2014 04:13:42 EDT	to complete
Current Status: W-0			

OTHER ONLINE STEPS (NOT REQUIRED TO OPEN OR UPGRADE ACCOUNT)

No other registration steps required for this Account.

DOCUMENT COPY OF ONLINE FORMS

Account	Registration Step	Status/ Date Completed	Type
All documents received Hide all			
6749	W-8Ben	16 Apr 2014 00:31:56 EDT	to send
Current Status: W-0			

DOCUMENT SUBMISSION STEPS

Document required	Document received	Processing notes	Account id
All required documents sent Hide all			
Proof of identity and date of birth for Mr. IAT HONG (Account Holder)	Received National ID via E-mail on 15 Apr 2014 04:29:53 EDT	Tentatively Accepted (ewong) on 16 Apr 2014 00:31:56 EDT	U1346749
Proof of address for Mr. IAT HONG (Account Holder)	Received Government Issued Letters via E-mail on 15 Apr 2014 04:29:53 EDT	Tentatively Accepted (ewong) on 16 Apr 2014 00:31:56 EDT	U1346749

407 LETTER / EMAIL FROM EMPLOYER REQUIRED DUE TO BROKER-DEALER AFFILIATION

Registration Status

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=longih820&ac...

No Employer Email (407 letter) required for this Account.

EQUIFAX ID/ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.

OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES

Name	Matches	
Search (# 87441461) for Mr. IAT HONG (Account Holder)		Complete - no match found hide
IAT HONG	No Matches found.	Processing time: 14 Mar 2015 08:08:55 EDT

WORLDCheck TASKS

Name	Matches	
WorldCheck Search (# 87441462) for Mr. IAT HONG (Account Holder)		Complete - no match found hide
IAT HONG	No Matches found.	Processing time: 15 Apr 2014 04:16:41 EDT

COMPLIANCE REVIEWS

No compliance reviews required for this Account.

HFCIP COMPLIANCE REVIEWS

No compliance reviews required for this Account.

Additional Account Information

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=hongih820&ac...

ADDITIONAL ACCOUNT INFORMATION

MASTER ACCOUNTS	
1764640 Sun Hung Kai Investment Services Limited	Hong Kong Special Administrative Region of China IBroker (Non-disclosed Introducing Broker)
CUSTOMER SUMMARY FOR IAT HONG	
Title:	IAT HONG
Applicant ID:	2096369
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE, TANQUES JARDINS, DE LISBOA EDF VISTA, LINDA 12 ANDAR C, TAIPA, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	hongih820
Employer:	Set/Unset Employer
Good-faith Review:	
ACCOUNT SUMMARY FOR 6749	

ID:	6749 (alias: hongih820-cash) (VAN: 6749-)	Equity yesterday:	188,399 USD
Type:	Active Trader	Started:	15 Apr 2014
Activated Capabilities:	STK	Approved:	16 Apr 2014
Status:	Open. Clearing Status	Opened:	16 Apr 2014
Phylum:	C - Customer	Funded:	24 Apr 2014
Priority:	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

[Login \(3 years\)](#)
[Login \(All\)](#)
[Account Configuration](#)
[OFAC Check History](#)
[Token Share](#)
[PTAM Info](#)
[Consolidation Info](#)

AM LOGIN ACTIVITY (LAST 3 YEARS)

Showing 3 years of AM login attempts

Start/Stop IP Tracking

USER NAME	LOGIN DATE	RESULT	REMOTE HOST
hongih820	2015-03-04 11:03:32	Success	14.23.81.218
hongih820	2015-03-04 11:03:12	Success	14.23.81.218
hongih820	2015-03-04 11:03:10	Success	14.23.81.218
hongih820	2015-02-13 10:57:18	Success	113.76.147.96
hongih820	2015-02-13 10:53:34	Success	113.76.147.96
hongih820	2015-02-13 10:53:32	Success	113.76.147.96
hongih820	2015-02-13 10:53:29	Success	113.76.147.96

Additional Account Information

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=hongih820&ac...

hongih820	2014-08-13 11:11:53	Success	222.240.173.125
hongih820	2014-08-13 10:34:17	Success	222.240.173.125
hongih820	2014-08-13 10:33:43	Success	222.240.173.125
hongih820	2014-08-13 10:31:42	Success	222.240.173.125
hongih820	2014-08-13 10:29:37	Success	222.240.173.125
hongih820	2014-08-13 10:29:17	Success	222.240.173.125
hongih820	2014-08-13 10:29:09	Success	222.240.173.125
hongih820	2014-08-13 10:29:00	Success	222.240.173.125
hongih820	2014-08-13 10:28:56	Success	222.240.173.125
hongih820	2014-08-13 10:24:31	Success	222.240.173.125
hongih820	2014-08-13 10:24:16	Success	222.240.173.125
hongih820	2014-08-13 10:23:19	Success	222.240.173.125
hongih820	2014-08-13 10:23:15	Success	222.240.173.125
hongih820	2014-04-24 11:53:47	Success	222.240.173.125
hongih820	2014-04-24 11:51:39	Success	222.240.173.125
hongih820	2014-04-24 11:48:28	Success	222.240.173.125
hongih820	2014-04-24 11:48:06	Success	222.240.173.125
hongih820	2014-04-24 11:48:03	Success	222.240.173.125
hongih820	2014-04-24 11:47:59	Success	222.240.173.125
hongih820	2014-04-24 10:32:49	Success	122.100.230.96
hongih820	2014-04-24 10:23:06	Success	122.100.230.96
hongih820	2014-04-24 06:01:40	Success	122.100.230.96
hongih820	2014-04-24 06:00:15	Failed	122.100.230.96
hongih820	2014-04-24 05:47:17	Success	122.100.230.96
hongih820	2014-04-24 05:31:30	Success	122.100.230.96

Summary Information for IAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

SUMMARY INFORMATION FOR IAT HONG

MASTER ACCOUNTS			
1764640	Sun Hung Kai Investment Services Limited	Hong Kong Special Administrative Region of China	IBroker (Non-disclosed Introducing Broker)

CUSTOMER SUMMARY FOR IAT HONG	
Title:	IAT HONG
Applicant ID:	2096369
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE, TANQUES JARDINS, DE LISBOA EDF VISTA, LINDA 12-ANDAR C, TAIPA, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	hongih820
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFY - Risk Ranking 2	
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	

ACCOUNT SUMMARY FOR	5749
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6749			
ID:	6749 (alias: hongih820-cash)	hongih820-cash (VAN: 5749-	Equity yesterday: 333,359 USD
Type:	Active Trader	Started:	15 Apr 2014
Activated Capabilities:	STK	Approved:	16 Apr 2014
Status:	Open. Clearing Status	Opened:	16 Apr 2014
Phylum	C - Customer	Funded:	24 Apr 2014
Priority	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

ACCOUNT APPROVAL DECISION

DATE OPENED	DATE CLOSED
2014-04-16 16:34:27	

Decision: Accepted (Initial)

Proclamations:

4/9/2015 11:00 AM

Summary Information for IAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

Decision: Accepted (Initial)

Proclamations:

I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the type, purpose and anticipated activity of the account; the nature and duration of IB's relationship with the applicant; publicly available information regarding the anti-money laundering and supervisory regime of the jurisdiction in which the applicant is located, formed and regulated and the jurisdiction where persons with a large ownership interest in the account are located; and the known disciplinary history of the applicant, this applicant is given a Risk Rating of:

2

Deciding User: ACES

Deciding Time: 16 Apr 2014 16:03:24 EDT

Additional Remarks: Non-disclosed account automatically created/n

ACCOUNT CAPABILITIES

Approved Capabilities	[MULT, STK]
Activated Capabilities	[STK]

ACCOUNT UPGRADE DECISIONS

No Upgrade Decisions yet

ADDITIONAL APPLICANT/REGISTRATION INFORMATION

APPLICANT INFO

Applicant ID: 2096369	Primary Phone: 85362818329
Country of Legal residence: Macao Special Administrative Region of China	Secondary Telephone: 85362835982
Applicant Citizenship: Macao Special Administrative Region of China	
Market Data Status: Professional	Mailing Address: ESTRADA DE SETE, TANQUES JARDINS DE LISBOA EDF VISTA, LINDA 12 ANDAR C, TAIPA Macao Special Administrative Region of China
	Marketing/Sales Info:
	Whitebranding ID: ustrader2

Change Applicant Information |

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	N/A	N/A	0
Options	N/A	N/A	0
Commodities	N/A	N/A	0
Bond	N/A	N/A	0
FX	N/A	N/A	0
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	N/A	Estimated Liquid Net Worth	N/A
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4/9/2015 11:00 AM

Summary Information for IAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

FINANCIAL INFORMATION			
Estimated Net Worth	N/A	Estimated Liquid Net Worth	N/A
Net Income	N/A	Sources of Funds (Other than regular income)	Sources of Income
Total Assets	N/A	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No

INVESTMENT OBJECTIVES	
N/A	
Edit Objective	

DISCIPLINARY EVENTS		
QUESTION	ANSWER	NATIVE ANSWER
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	N/A	N/A
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	N/A	N/A

COMPLIANCE / REGULATORY INFORMATION		
Add Broker-Dealer Affiliation		
QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	N/A	N/A
Is the account holder a member of a regulatory or a self-regulatory organization?	N/A	N/A
Is the account holder: i) a director; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	N/A	N/A
Is exactly a registered financial advisor?	N/A	N/A
Accepted Futures Arbitration Agreement?	No Decision	No Decision
Edit Compliance Information Change Arbitration Agreement		

APPLICANT ASSOCIATED ENTITIES	
Show all	
MR. IAT HONG (ACCOUNT HOLDER)	
Mr. IAT HONG Individual (21733926) Ownership: Ownership percentage: 100.0 Detailed Ownership Information	Personal Info Citizenship: Macao Special Administrative Region of China DOB: 1980 Legal ID: National ID: (Macao Special Employer Info Employment Status: SELFEMPLOYED Occupation: EMPLOYER Employer: POK IAT NEW TECHNOLOGY INVESTMENT CO LTD Employer Business: Other Employer Address: ESTRADA DE SETE 4/9/2015 11:00 AM

Summary Information for IAT HONG

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

Ownership Ownership percentage: 100.0 Detailed Ownership Information	DOB: [REDACTED] 1980 Legal Rte National ID: [REDACTED] (Macao Special Administrative Region of China)	Employer: POK IAT NEW TECHNOLOGY INVESTMENT CO LTD Employer Business: Other Employer Address: ESTRADA DE SETE TANQUES, JARDINS DE LISBOA EDF VISTA LINDA 12 ANDAR C,TAIPA,MACAU Macao Special Administrative Region of China
Contact Info Home Phone: 85362818329 Work Phone: 85362835982 Home (PRIMARY): (853) +85362818329 details Work (ADDITIONAL): (853) +85362835982 details	Addresses Residential Address: ESTRADA DE SETE, TANQUES JARDINS DE LISBOA EDF VISTA,LINDA 12 ANDAR C,TAIPA Macao Special Administrative Region of China Mailing Address: Same as residential address	

Change Info	Request Proof of ID and DOB	Request Proof of Address	Request Proof of SSN	Mark as PEP	Ownership History
-------------	-----------------------------	--------------------------	----------------------	-------------	-------------------

Sessions:	User: hongh820 (5749)	Active in TWS: yes	Token Type: N/A
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Client Account Supervision System - Interactive Brokers

Additional Account Information

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=hongih820...

ADDITIONAL ACCOUNT INFORMATION

MASTER ACCOUNTS			
1764640	Sun Hung Kai Investment Services Limited	Hong Kong Special Administrative Region of China	IBroker (Non-disclosed Introducing Broker)

CUSTOMER SUMMARY FOR IAT HONG	
Title:	IAT HONG
Applicant ID:	2096369
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE, TANQUES JARDINS, DE LISBOA EDF VISTA, LINDA 12-ANDAR C, TAIPA, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	hongih820
Employer:	Set/Unset Employer
Good-faith Review:	

ACCOUNT SUMMARY FOR 6749	
6749	
ID:	6749 (alias: hongih820-cash) (VAN: 5749)
Type:	Active Trader
Activated Capabilities:	STK
Status:	Open Clearing Status
Phylum:	C- Customer
Priority:	NOT SET Change Priority
IB Entity:	IBLLC-US
Currency:	USD
Equity yesterday:	333,359 USD
Started:	15 Apr 2014
Approved:	16 Apr 2014
Opened:	16 Apr 2014
Funded:	24 Apr 2014
Closed:	
Operator:	
Estate:	

TMS tickets TMS sticky notes Assign to ASG Account Diagnostic

Login (3 years) **Login (All)** Account Configuration OFAC Check History Token Share PTAM Info Consolidation Info

All AM Login Activities

Full list of AM login attempts

USER NAME	LOGIN DATE	RESULT	REMOTE HOST
hongih820	2015-03-04 11:03:32	Success	14.23.81.218
hongih820	2015-03-04 11:03:12	Success	14.23.81.218
hongih820	2015-03-04 11:03:10	Success	14.23.81.218

4/9/2015 11:01 AM

hongjih820	2015-03-04 11:03:10	Success	14.23.81.218
hongjih820	2015-03-04 11:03:10	Success	14.23.81.218
hongjih820	2015-02-13 10:57:18	Success	113.76.147.96

Additional Account Information

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=hongih820...

ADDITIONAL ACCOUNT INFORMATION

MASTER ACCOUNTS			
1764640	Sun Hung Kai Investment Services Limited	Hong Kong Special Administrative Region of China	IBroker (Non-disclosed Introducing Broker)

CUSTOMER SUMMARY FOR IAT HONG	
Title:	IAT HONG
Applicant ID:	2096369
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE, TANQUES JARDINS, DE LISBODA EDF VISTA, LINDA 12-ANDAR C, TAIPA, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	hongih820
Employer:	Set/Unset Employer
Good-faith Review:	

ACCOUNT SUMMARY FOR 5749	
5749	
ID:	5749 (alias: hongih820-cash) (VAN: 5749)
Type:	Active Trader
Activated Capabilities:	STK
Status:	Open. Clearing Status
Phylum:	C - Customer
Priority:	NOT SET Change Priority
IB Entity:	IBLLC-US
Currency:	USD
Equity yesterday:	333,359 USD
Started:	15 Apr 2014
Approved:	16 Apr 2014
Opened:	16 Apr 2014
Funded:	24 Apr 2014
Closed:	
Operator:	
Estate:	

[TMS tickets](#)
[TMS sticky notes](#)
[Assign to ASG](#)
[Account Diagnostic](#)

[Login \(3 years\)](#)
[Login \(All\)](#)
[Account Configuration](#)
[OFAC Check History](#)
[Token Share](#)
[PTAM Info](#)
[Consolidation Info](#)

All AM Login Activities				
Full list of AM login attempts				
USER NAME	LOGIN DATE	RESULT	REMOTE HOST	
hongih820	2015-03-04 11:03:32	Success	14.23.81.218	
hongih820	2015-03-04 11:03:12	Success	14.23.81.218	
hongih820	2015-03-04 11:03:10	Success	14.23.81.218	

4/9/2015 11:01 AM

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=hongih820...

hongjih820	2015-03-04 11:03:12	Success	14.23.81.218
hongjih820	2015-03-04 11:03:10	Success	14.23.81.218
hongjih820	2015-02-13 10:57:18	Success	113.76.147.96

SUMMARY INFORMATION FOR IAT HONG

CUSTOMER SUMMARY FOR IAT HONG	
Title:	IAT HONG
Applicant ID:	2096369
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: I784640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE, TANQUES JARDINS, DE LISBOA EDF VISTA, LINDA 12 ANDAR C, TAIPA, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	hongih820
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFI - Risk Ranking 2	
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	

Account Summary For 6749	
ID:	6749 (alias: 6749 hongih820-cash) (VAN: 6749)
Type:	Active Trader
Activated Capabilities:	STK
Status:	Open Clearing Status
Phylum:	C - Customer
Priority:	NOT SET Change Priority
IB Entity:	IBLLC-US
Currency:	USD
Equity yesterday:	1,276,677 USD
Started:	15 Apr 2014
Approved:	16 Apr 2014
Opened:	16 Apr 2014
Funded:	24 Apr 2014
Closed:	
Operator:	
Estate:	

TMS tickets TMS sticky notes Assign to ASG Account Diagnostic

ACCOUNT APPROVAL DECISION	
DATE OPENED	DATE CLOSED
2014-04-16 16:34:27	

Decision: Accepted (Initial)

Proclamations:

I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the

Proclamations:

I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the type, purpose and anticipated activity of the account; the nature and duration of IB's relationship with the applicant; publicly available information regarding the anti-money laundering and supervisory regime of the jurisdiction in which the applicant is located, formed and regulated and the jurisdiction where persons with a large ownership interest in the account are located; and the known disciplinary history of the applicant, this applicant is given a Risk Rating of:

2

Deciding User: ACES

Deciding Time: 16 Apr 2014 16:03:24 EDT

Additional Remarks: Non-disclosed account automatically created

ACCOUNT CAPABILITIES

Approved Capabilities	[MULT, STK]
Activated Capabilities	[STK]

ACCOUNT UPGRADE DECISIONS

No Upgrade Decisions yet

ADDITIONAL APPLICANT/REGISTRATION INFORMATION

APPLICANT INFO

Applicant ID: 2096369	Primary Phone: 85362818329
US Tax ID: N/A	Secondary Telephone: 85362835982
Country of Legal residence: Macao Special Administrative Region of China	Marketing Address #: ESTRADA DE SETE
Applicant Citizenship: Macao Special Administrative Region of China	TANQUES JARDINS
State of Legal residence: N/A	DE LISBOA EDF VISTA, LINDA 12 ANDAR C. TAIPA
Market Data Status: Professional	Macao Special Administrative Region of China
	Marketing/Sales Info:
	N/A
	Whitebranding ID: ustrader2

Change Applicant Information*

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	N/A	N/A	0
Options	N/A	N/A	0
Commodities	N/A	N/A	0
Bond	N/A	N/A	0
FX	N/A	N/A	0
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	N/A	Estimated Liquid Net Worth	N/A
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FINANCIAL INFORMATION

Estimated Net Worth	N/A	Estimated Liquid Net Worth	N/A
Net Income	N/A	Sources of Funds (Other than regular income)	Sources of Income
Total Assets	N/A	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No

INVESTMENT OBJECTIVES

N/A

[Edit Objective](#)

DISCIPLINARY EVENTS

QUESTION	ANSWER	NATIVE ANSWER
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	N/A	N/A
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	N/A	N/A

COMPLIANCE/REGULATORY INFORMATION

[Add Broker-Dealer Affiliation >](#)

QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	N/A	N/A
Is the account holder a member of a regulatory or a self-regulatory organization?	N/A	N/A
Is the account holder: i) a director; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	N/A	N/A
Is exactly a registered financial advisor?	N/A	N/A
Accepted Futures Arbitration Agreement?	No Decision	No Decision

[Edit Compliance Information >](#) [Change Arbitration Agreement >](#)

APPLICANT ASSOCIATED ENTITIES

[Hide all >](#)Personal Information for **Mr. IAT HONG (Account Holder)**[show >](#)**Mr. IAT HONG**

Entity ID: 21733926

Ownership percentage: 100.0
[Detailed Ownership Information >](#)

US-ASCII Fields

Citizenship: Macao Special Administrative Region of China	# of Dependents:
DOB: 1980	Marital Status:
City of Birth:	Mother's Maiden Name:
Drivers Lic #:	
Alien ID:	Occupation: EMPLOYER
Passport:	
National ID: (Macao Special Administrative Region of China)	Employment Status: SELFEMPLOYED
	Employer: IAT NEW TECHNOLOGY

Detailed Ownership Information >

Drivers Lic #:

Alien ID:

Passport:

National ID: (Macao Special Administrative Region of China)

has Greencard: false

Home Phone: 85362818329

Work Phone: 85362835982

Occupation: EMPLOYER

Employment Status: SELFEMPLOYED

Employer: POK IAT NEW TECHNOLOGY INVESTMENT CO LTD

Employer Business: Other

Employer Address: ESTRADA DE SETE TANQUES, JARDINS DE LISBOA EDF VISTA

LINDA 12 ANDAR C,TAIPA,MACAU

Macao Special Administrative Region of China

Residential Address: ESTRADA DE SETE, TANQUES JARDINS

DE LISBOA EDF VISTA,LINDA 12 ANDAR C,TAIPA

Macao Special Administrative Region of China

Mailing Address: Same as residential address

Business Nature Extended:

Country Mismatch Description:

Change Info >

Request Proof of ID and DOB >

Request Proof of Address >

Request Proof of SSN >

Mark as PEP >

Ownership History >

Sessions:

User: hongib20 (5749)

Active in TWS: Yes

Role: OWNER

Token Type: N/A

Ends: Remote function moved to user

None

REGISTRATION STATUS

CUSTOMER SUMMARY FOR IAT HONG	
Title:	IAT HONG
Applicant ID:	2096369
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE, TANQUES JARDINS, DE LISBOA EDF VISTA, LINDA 12 ANDAR C, TAIPA, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	hongih820
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFI - Risk Ranking 2	
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	

ACCOUNT SUMMARY FOR 5749	
ID:	5749 (alias: hongih820-cash) (VAN: 5749)
Type:	Active Trader
Activated Capabilities:	STK
Status:	Open Clearing Status
Phylum:	C - Customer
Priority:	NOT SET Change Priority
IB Entity:	IBLLC-US
Currency:	USD
Equity yesterday:	1,276,677 USD
Started:	15 Apr 2014
Approved:	16 Apr 2014
Opened:	16 Apr 2014
Funded:	24 Apr 2014
Closed:	
Operator:	
Estate:	

TMS tickets TMS sticky notes Assign to ASG Account Diagnostic

Registration Process Dynamic Registration Tasks Approval Requirements Customer Tasks

Summary of Steps			
Online steps Completed	Paper PDF Forms Not required	Funding Instruction Not required	407 Letter Not required
ID Documents Received	Equifax Not required	OFAC Status Completed	Other compliance checks Not required
		WordCheck Status Completed	

Application

Workcheck Status	Not required
Completed	

Application	
Application Type: FULL	Process Type: CUST_ENTRY - CUSTOMER
Current Sequence: APPLICATION	Multi Account Eligible: No
Status: APP_STATUS	Multi Master Account:

View All Registration Steps >

Application Steps	
APPLICATION	
APP_STATUS	

ONLINE STEPS REQUIRED TO OPEN OR UPGRADE ACCOUNT

Sort Steps By Name

Account	Registration Step	Status/ Date Completed	Type
All required online steps completed Hide all			
6749	Margin and Products	16 Apr 2014 22:10:24 EDT	to complete
6749	Market Data Selection	24 Apr 2014 11:54:07 EDT	to complete
6749	W-8Ben	15 Apr 2014 04:13:42 EDT	to complete
Current Status: W-0			

OTHER ONLINE STEPS (NOT REQUIRED TO OPEN OR UPGRADE ACCOUNT)

No other registration steps required for this Account.

DOCUMENT COPY OF ONLINE FORMS

Account	Registration Step	Status/ Date Completed	Type
All documents received Hide all			
6749	W-8Ben	16 Apr 2014 00:31:56 EDT	to send
Current Status: W-0			

DOCUMENT SUBMISSION STEPS

Document required	Document received	Processing notes	Account id
All required documents sent Hide all			
Proof of identity and date of birth for Mr. IAT HONG (Account Holder)	Received National ID via E-mail on 15 Apr 2014 04:29:53 EDT	Tentatively Accepted (wrong) on 16 Apr 2014 00:31:56 EDT	6749
	Received Government	Tentatively Accepted	

Proof of identity and date of birth for Mr. IAT HONG (Account Holder)	Received Government ID via E-mail on 15 Apr 2014 04:29:53 EDT	(ewong) on 16 Apr 2014 00:31:56 EDT	6749
Proof of address for Mr. IAT HONG (Account Holder)	Received Government Issued Letters via E-mail on 15 Apr 2014 04:29:53 EDT	Tentatively Accepted (ewong) on 16 Apr 2014 00:31:56 EDT	6749

407 LETTER/EMAIL FROM EMPLOYER REQUIRED DUE TO BROKER-DEALER APPLICATION

No Employer Email (407 letter) required for this Account.

EQUIFAX ID/ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.

OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES

Name	Matches	
Search (# 87441461) for Mr. IAT HONG (Account Holder)		Complete - no match found hide
IAT HONG	No Matches found.	Processing time: 27 Sep 2014 04:49:31 EDT

WORLDCheck TASKS

Name	Matches	
WorldCheck Search (# 87441462) for Mr. IAT HONG (Account Holder)		Complete - no match found hide
IAT HONG	No Matches found.	Processing time: 15 Apr 2014 04:16:41 EDT

COMPLIANCE REVIEWS

No compliance reviews required for this Account.

HFCIP COMPLIANCE REVIEWS

No compliance reviews required for this Account.

Customer Account Supervision System - Interactive Brokers



CERTIFICATION

Schreiber Translations, Inc.

51 Monroe Street

Suite 101

Rockville, MD 20850

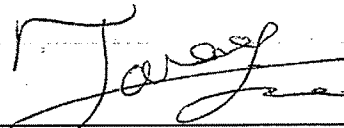
P: 301.424.7737

F: 301.424.2336

This is to certify that the attached English language documents are true and accurate translations of the original Chinese language documents to the best of our knowledge and belief. The documents are identified as below:

"03_17_2015 12_10_06 EDT (75)", "03_17_2015 16_38_58 EDT (75)", "03_18_2015 11_48_14 EDT (125)", "08_18_2014 21_45_21 EDT_4 (75)", "08_18_2014 21_45_21 EDT_5 (25)", "SEC-HKSFC-E-0000179 (175)", "SEC-HKSFC-E-0000265 (400)", "SEC-HKSFC-E-0000458 (400)", "SEC-HKSFC-E-0000550 (375)"

Executed this 29th day
of June, 2016


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Rockville, Maryland 20850
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